A Guide to the *eJusticeNY* Integrated Justice Portal Criminal History Report "Rapsheet"

August 2007

Table of Contents

The Criminal History Record 5
Introduction to the New York State Criminal History Record 5
Fingerprint Response rapsheets 6
Repository Inquiry Response rapsheets 6
Initial Transaction Received 8
Online Data Received 8
Transaction Completed 8
Rapsheet Produced 8
Repository Inquiry Response rapsheets 8

Repository Response 10
Attention - Important Information 10
Identification Information 11
Name 12
Date of Birth 12
Address 12
Sex, Race, Ethnicity, Skin Tone 12
Eye Color, Hair Color, Height, and Weight 12
SSN (Social Security Number) 12
NYSID # (*New York State Identification Number*) 12
FBI # 12
Probation Client ID # 12
NCIC Classification 12
III Status 12

Summary Information 13
Name 13
Total Arrests Charges 13
Total Convictions 13
Total Open Charges 13
Sex Offender Convictions 14

NYS Criminal History Information 14

Arrest/Charge Information 14
Arrest Charges 15

Court Information 16
Court 16
Case Number 16
Disposition 16
Disposition Charges 17
Sentencing 17

Sealed Arrests/Disposition Cycles 17
Cycle Not Supported by fingerprints 17

Incarceration Information 18
Admission Date 18
Admission Reason 18
Agency 18
State Inmate ID No 18
Sentence to 19
Max Expiration Date 19
Conditional Release Date 19
Release Date 19
Release Reason 19

Parole Release Information 19
Received by Parole 20
Release Type 20
Max Expiration Date 20
Supervision Office 20
Parole ID Number 20
Discharge from Parole on 20
Discharge Type 20

Probation Information 21
Placed on Probation 22
Maximum Expiration Date 22
Supervision Agency 22
Jurisdiction Agency 22
Probation Officer ID 22
Probation Registration Number 22
Probation Case Number 22
Probation Discharge Date 22
Discharge Type 22

Certificate of Relief 23
Type A 23
Type B 23
Type C 23

Other Information 24

Other History Related Information 24

Job/License Information 25
Civil Information 25

Wanted Information 25

Missing Person Information 26

Federal and Out-of-State Information 26
III Criminal History 26
NCIC Search 27

Convicted Person on Supervised Release File....27
Convicted Sexual Offender Registry File....27
Deported Felon File....27
Foreign Fugitive File....27
Missing Person File....28
Protection Order File....28
U.S. Secret Service Protective File....28
Violent Gang and Terrorist Organization File....28
Wanted Person File....29

The Criminal History Record

Introduction to the New York State Criminal History Record

New York State Executive Law §837(6) and §837(8-a) establish the New York State Division of Criminal Justice Services (DCJS) as the Central Repository for criminal history records in New York State. New York State Criminal Procedure Law (CPL) §160.30 defines the duties of DCJS when processing fingerprint images submitted by a police officer or agency pursuant to §160.10 and §160.20. According to this legislation, DCJS is to classify the fingerprints, search its files for information concerning previous records of the individual, and promptly transmit the results of the search to the police officer or agency.

In order to fulfill these responsibilities, criminal history reports, or "rapsheets," are provided by DCJS in response to both criminal and non-criminal inquiries. Each report contains information that is on file at DCJS, but the amount of information released depends on the type of user and the reason for the request. Access to criminal history data will depend on specific user eligibility and status of the record in question. (Note: If an individual requests a review of his/her own criminal history record through the DCJS Record Review process, all information on file will be made available.)

Though *eJusticeNY* and previously used New York State rapsheets share many data elements, the *eJusticeNY* rapsheet differs in how the information is formatted. The *eJusticeNY* rapsheet has two forms:

- A Fingerprint Response Rapsheet based upon DCJS's response to an authorized civil or criminal fingerprint submission; and
- A Repository Inquiry Response, based not on fingerprints but on an authorized user's request using identifiers such as NYSID and FBI Numbers.

All responses to fingerprint card submissions are returned to the *eJusticeNY* Civil or Agency (formerly known as Criminal) In-Box and may also be sent directly to a printer while rapsheets returned based upon non-fingerprint submissions are normally displayed on the requestor's screen. Requests for multiple rapsheets (Batch Inquiries) and for late out-of-state and federal criminal history information responses are returned to the individual's *eJusticeNY* Personal In-Box. The illustrations in this manual are based on the two forms of the *eJusticeNY* rapsheet.

To provide a full overview of the *eJusticeNY* rapsheet, the manual is divided into sections with explanations and illustrations using a sample rapsheet. The sample rapsheet is for "Sam Sample" with the ORI Number NY05870633R. It contains New York, out-of-state and federal criminal history information and was created by DCJS for system testing and training purposes. *eJusticeNY* agencies that are authorized to conduct a non-fingerprint based inquiry through the Criminal Justice Repository are encouraged to have their users do searches for "Sam Sample" as part of their *eJusticeNY* training programs. A glossary of criminal justice terminology used throughout the rapsheet is available in the *eJusticeNY* Support Services suite.

For more information on classes in Reading the Rapsheet, contact the DCJS Customer Contact Center (CCC) at 1 (800) 262-3257.

The *eJusticeNY* Criminal History Report - ("Rapsheet")Error! Bookmark not defined.

The New York State criminal history record for a given individual is not a uniform document disseminated to all eJusticeNY users and agencies. Several fundamental distinctions must be clearly made for agencies to understand what information is available to them and in what form.

Two types of rapsheets are produced by DCJS for authorized users.

1. **Fingerprint Response rapsheets** are generated based upon a submission of fingerprint images and data either as a hard copy or electronically (using a card scan or livescan device). Fingerprints may be submitted for a variety of criminal or civil purposes as detailed in the agency's Use and Dissemination (U&D) Agreement with DCJS. For further information about Use and Dissemination Agreements, please refer to materials contained in the *eJusticeNY* Support Services suite. For criminal agencies, the most common reasons include submissions for arrests, criminal inquiries at arrests, out-of-state probation and parole cases, inquiries for detainees and incarceration admissions. For civil agencies, submissions are authorized for applicants for employment and licensing based upon specific statutory authorizations. The content of the fingerprint response rapsheet varies depending on the purpose of the fingerprint inquiry and associated statutory authorization..

   The Fingerprint Response rapsheet will be sent to the Agency or Civil In-Box as a result of a fingerprint submission. For arrest fingerprint submissions, rapsheets are also sent to the district attorney and the court of arraignment.

2. **Repository Inquiry Response rapsheets** are generated based upon a non-fingerprint-based inquiry based upon submission of a variety of numbers associated with the individual. In many instances, the user will identify the number based upon a Search in the *eJusticeNY* Criminal Justice Repository. The most common identifier is the NYSID Number though other identifiers such as the FBI Number or the DIN Number [used by the New York State Department of Correctional Services] may be used by the inquirer.

   Several key restrictions govern authorization to run inquiry rapsheets:

   - With few exceptions, inquiry rapsheets may not be run for employment or licensing applicants. As authorized, agencies must submit fingerprint images and data for those cases.

   - An agency may request inquiry rapsheets only for the specified purposes (Reason Codes) authorized under the agency's U&D. The number and type of reasons varies widely by agency. Probation departments have twenty reason codes while law enforcement agencies typically have only three reason codes.

- The use of the Reason Code governs the type of information that will be provided the user. The proper reason code must be used for each inquiry conducted. For example, the courts have a CTA reason code which allows them access to sealed records for purposes of checking the dispositions reported by their court to the repository for a given case. Using the CTA Reason Code instead of the RRB (Release/Bail Investigation) code for arraignment will inappropriately provide the court with sealed information that should not be seen by the court or district attorney.

The type of criminal history information provided users for the Fingerprint Response and Inquiry Rapsheets is identical with the following exceptions:

1. **Fingerprint response rapsheets** include a detailed account of the latest fingerprint submission and the reason for the fingerprinting. **Drawing 1** is a response to an arrest fingerprint submission to DCJS providing information about the submitted fingerprint transaction data. This actual arrest may not appear on the rapsheet where the prior arrests are displayed. This arrest will be displayed with the other arrests when a subsequent rapsheet is obtained.

Drawing 1

Transaction Data

[redacted]

Name:	SAMMY SAMPLE
Transaction ID:	74782
Agency ORI:	NY0010100
SSN:	099-99-9992
Type of Submission:	**ARREST**
Date Fingerprinted:	January 13, 2007 12:00 am
Reason Fingerprinted:	Adult Arrest

Arrest/Charge Information

Arrest Date: January 14, 2007

Name:	SAMMY SAMPLE
Date of Birth:	May 24, 1956
Sex:	Male
Race:	White
SSN:	099-99-9992
Age at time of crime/arrest:	50
Address:	251 MAIN ST, PHELPS, NY
Place of Arrest:	City of Albany, Albany County , NY
Date of Crime:	January 10, 2007
Place of Crime:	City of Albany, Albany County , NY
Criminal Justice Tracking No.:	55018164K
Arresting Agency:	Albany City PD
Local Person Id:	LP0001207
Arrest Case Number:	000001304806
Arrest Number:	LP0001207
Arraignment:	Albany City Court

2. **Fingerprint response rapsheets** also document the flow of information between the contributor agency and DCJS. All transfers of information are logged and stamped with a date and time. **Drawing 2** is a description of the data included in this section:

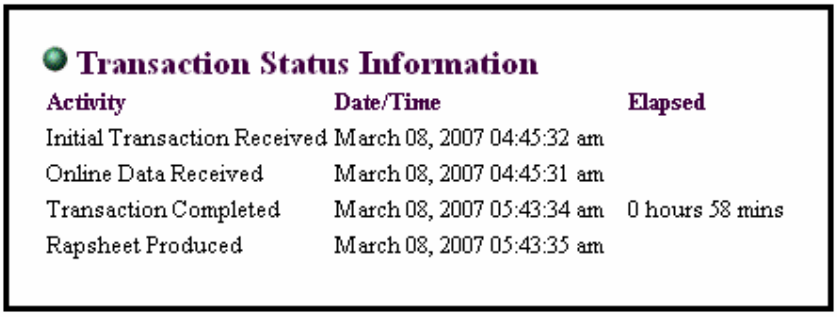
   - **Initial Transaction Received:** This is the date and time that an electronic fingerprint transaction was received or the date and time that a mailed transaction was initially entered into the DCJS processing system.

   - **Online Data Received:** This will appear *only* if the contributor agency transmitted all or part of the fingerprint transaction electronically.

   - **Transaction Completed:** This is the date and time that the transaction has been completed at DCJS. This section also includes the time that elapsed between the initial receipt of the data and the completion of the update at DCJS.

   - **Rapsheet Produced:** This is the date and time that the actual rapsheet was produced.

Drawing 2



Transaction Status Information

Activity	Date/Time	Elapsed
Initial Transaction Received	March 08, 2007 04:45:32 am	
Online Data Received	March 08, 2007 04:45:31 am	
Transaction Completed	March 08, 2007 05:43:34 am	0 hours 58 mins
Rapsheet Produced	March 08, 2007 05:43:35 am	

3. **Repository Inquiry Response rapsheets** may be customized by the user to include or exclude certain types of information or time ranges. For example, the user may decide not to request Missing Person information. In that case, the criminal history produced will state that the user did not request that information. The user may also request that only arrest events after a certain date be included in the rapsheet. If the user adds that restriction to the inquiry, the Summary Information section of the rapsheet will be based only on the time period for which criminal history information was requested.

4. In the "Attention: Important Information" section of the rapsheet (discussed below), the inquiry rapsheet will caution the user that the rapsheet is not based upon a fingerprint identification.

With the above content exceptions and the limits on sealed or suppressed information available, the fingerprint response and inquiry rapsheets have the same types of information as detailed in the rest of this Manual.

Repository Response

The Repository Response section of the rapsheet includes information based upon identification against an existing history within the New York State DCJS Repository files. The repository files are comprised of both civil and criminal data.

The Repository Response is divided into the following sections:

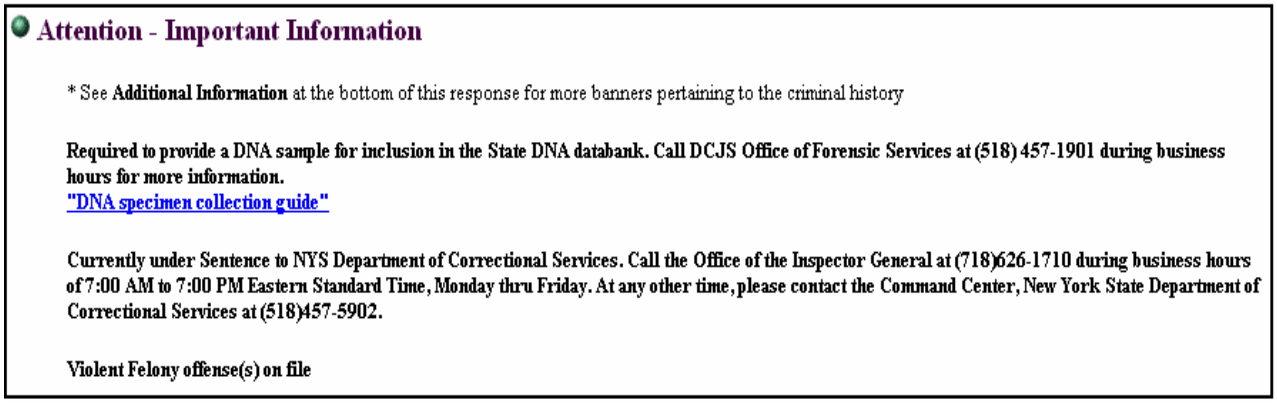
- Attention: Important Information
- Identification Information
- NYS Criminal History information including
  - Arrest/Charge Information
  - Court Information
  - Incarceration Information
  - Certificate of Relief
  - Other Information
  - Other History Related Information

- Job/License Information
- Wanted Information
- Missing Person Information
- Federal and Out-of State Information (NCIC/III Response)

Attention - Important Information

The first section of the Repository Response is **Attention - Important Information**. This section includes banners that, when present, alert the user to specific types of information included on the rapsheet and to the restrictions on the dissemination of such information. Drawing 3 below includes a number of such banners:

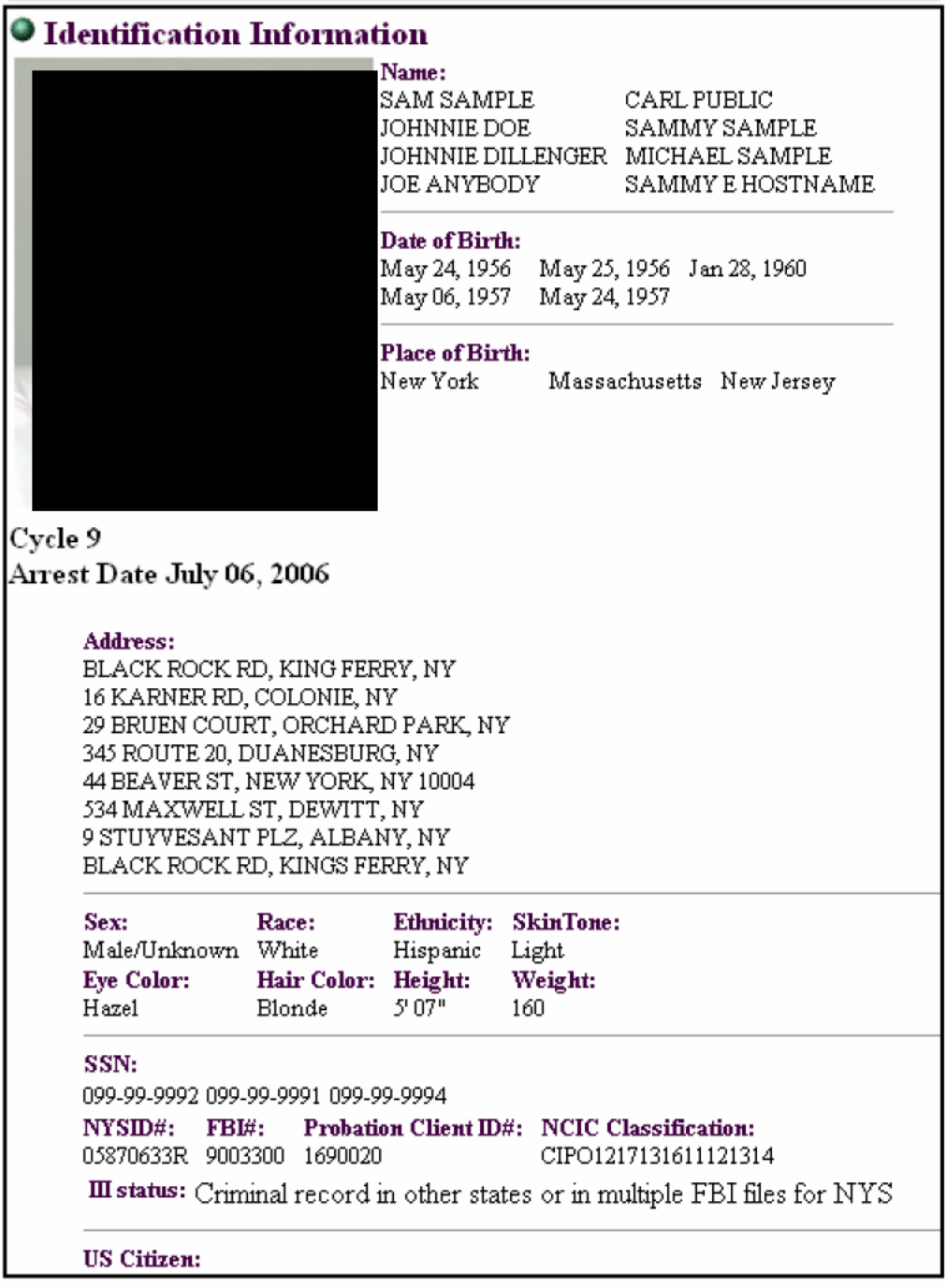
Drawing 3


Attention - Important Information
* See Additional Information at the bottom of this response for more banners pertaining to the criminal history
Required to provide a DNA sample for inclusion in the State DNA databank. Call DCJS Office of Forensic Services at (518) 457-1901 during business hours for more information.
"DNA specimen collection guide"
Currently under Sentence to NYS Department of Correctional Services. Call the Office of the Inspector General at (718)626-1710 during business hours of 7:00 AM to 7:00 PM Eastern Standard Time, Monday thru Friday. At any other time, please contact the Command Center, New York State Department of Correctional Services at (518)457-5902.
Violent Felony offense(s) on file

Identification Information

This section of the rapsheet provides personal information pertaining to the subject of the inquiry. **Drawing 4** illustrates the type of information collected followed by a description of selected data elements:

Drawing 4



Identification Information

[redacted]

Name:

SAM SAMPLE	CARL PUBLIC
JOHNNIE DOE	SAMMY SAMPLE
JOHNNIE DILLENGER	MICHAEL SAMPLE
JOE ANYBODY	SAMMY E HOSTNAME

Date of Birth:

May 24, 1956 May 25, 1956 Jan 28, 1960
May 06, 1957 May 24, 1957

Place of Birth:

New York Massachusetts New Jersey

Cycle 9
Arrest Date July 06, 2006

Address:

BLACK ROCK RD, KING FERRY, NY
16 KARNER RD, COLONIE, NY
29 BRUEN COURT, ORCHARD PARK, NY
345 ROUTE 20, DUANESBURG, NY
44 BEAVER ST, NEW YORK, NY 10004
534 MAXWELL ST, DEWITT, NY
9 STUYVESANT PLZ, ALBANY, NY
BLACK ROCK RD, KINGS FERRY, NY

Sex:	Race:	Ethnicity:	SkinTone:
Male/Unknown	White	Hispanic	Light
Eye Color:	**Hair Color:**	**Height:**	**Weight:**
Hazel	Blonde	5' 07"	160

SSN:

099-99-9992 099-99-9991 099-99-9994

NYSID#:	FBI#:	Probation Client ID#:	NCIC Classification:
05870633R	9003300	1690020	CIPO1217131611121314

III status: Criminal record in other states or in multiple FBI files for NYS

US Citizen:

Name may include multiple names and aliases used by the subject reported through various criminal or civil fingerprint submissions. The names are listed by frequency in descending order.

Date of Birth could include multiple dates if the subject has previously reported numerous dates of birth. The dates are listed by frequency in descending order.

Address lists addresses of the subject in chronological order.

Sex, Race, Ethnicity, Skin Tone indicates information most frequently reported. Multiple values will appear if the frequencies are tied. If multiple sexes are reported, all reported sexes will be shown.

Eye Color, Hair Color, Height, and Weight indicates information from the most recently reported fingerprint submission.

SSN (Social Security Number) may list more than one number if the subject has reported numerous SSNs through various criminal or civil fingerprint submissions.

NYSID # (*New York State Identification Number*) is a unique history number assigned by DCJS to an individual with New York State history. An individual may have more than one NYSID number if all previous histories are sealed.

FBI # is the primary identification and file number assigned by the FBI.

Probation Client ID # is an identification number attached to an individual's supervision history assigned by a probation agency or by the New York State Division of Probation and Correctional Alternatives.

NCIC Classification is the National Crime Information Center fingerprint classification.

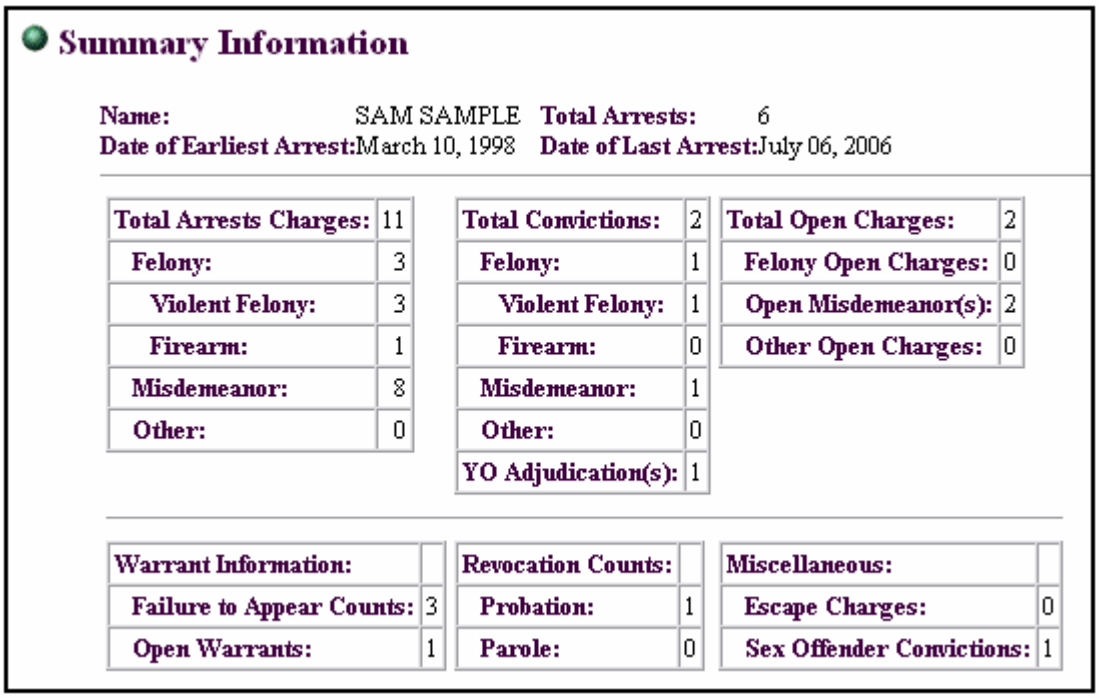
III Status is the Interstate Identification Index status. This indicates whether or not there is information available in states other than New York.

Note: Any information associated only to sealed records will not display unless the agency and reason for the request allows for release of the sealed data based upon current provisions of the New York State Criminal Procedure Law.

Summary Information

This section of the rapsheet **(Drawing 5)** provides a quick reference guide to the subject's criminal history. The summary information is a quantitative synopsis of all releasable arrest, conviction, and open charge information which is detailed later in the rapsheet. Arrests prior to 1972 are not included in the summary information, but can be found in the "Other Information" section of the rapsheet.

Drawing 5



Summary Information

Name: SAM SAMPLE **Total Arrests:** 6
Date of Earliest Arrest: March 10, 1998 **Date of Last Arrest:** July 06, 2006

Total Arrests Charges:	11
Felony:	3
Violent Felony:	3
Firearm:	1
Misdemeanor:	8
Other:	0

Total Convictions:	2
Felony:	1
Violent Felony:	1
Firearm:	0
Misdemeanor:	1
Other:	0
YO Adjudication(s):	1

Total Open Charges:	2
Felony Open Charges:	0
Open Misdemeanor(s):	2
Other Open Charges:	0

Warrant Information:	
Failure to Appear Counts:	3
Open Warrants:	1

Revocation Counts:	
Probation:	1
Parole:	0

Miscellaneous:	
Escape Charges:	0
Sex Offender Convictions:	1

Name represents the most frequently reported name of the individual.

Total Arrests Charges represent a count of all arrest charges in the history. They are further refined to show felony arrest charges (with violent felony charges being a subset of the felony category), misdemeanor arrest charges and other arrest charges which include violations, infractions and charges with an unknown category type.

Total Convictions reflects the total number of felony convictions (with violent felony convictions being a subset of the felony conviction category), misdemeanor convictions, and other convictions which include violations, infractions and convictions with an unknown category type**.** *Note: YO (Youthful Offender) Adjudications, if permitted to be released, are shown in the conviction column, but are not included as part of the Total Conviction count.* The conviction is vacated in order to obtain a YO adjudication**.**

Total Open Charges reflects the total number of felony, misdemeanor and other (violations, infractions) open charges. An arraignment charge is considered an open charge if a disposition has not been reported for that arraignment charge.

All arrest charges are considered open if there are no arraignment charges and no final disposition. If there is a final disposition, all arrest charges are considered closed. If there are arraignment charges, arrest charges cannot be individually accounted for because a person may have been arraigned on charges that differ from those for which he/she was arrested.

Sex Offender Convictions are based on convictions for Sex Offender Registry charges.

NYS Criminal History Information

The Criminal History section of the rapsheet displays criminal events maintained on DCJS records. This section is organized according to criminal cycles. Each cycle refers to a single fingerprintable event.

Arrest/Charge Information

This information **(Drawing 6)** is reported by the arresting agency and usually is supported by an arrest fingerprint transmission:

Drawing 6

Arrest/Charge Information
Arrest Date: July 06, 2006 08:00 pm (20:00:00)

Name:	SAM SAMPLE
Date of Birth:	January 28, 1960
Sex:	Male
Ethnicity:	Hispanic
SSN:	099-99-9992
Age at time of crime/arrest:	46
Address:	BLACK ROCK RD, KING FERRY, NY
Fax Number	73154
Place of Arrest:	New York County, NY
Date of Crime:	July 06, 2006
Place of Crime:	New York County, NY
Criminal Justice Tracking No.:	30622109J
Arresting Agency:	NYCPD PCT 030
Arresting Officer ID:	874981
Arrest Number:	M06999923
Arrest Charges:	

-- Criminal Possession Of A Weapon- 2nd Degree
PL 265.03 Class C Felony Degree 2 NCIC 5212

-- Attempted Criminal Sexual Act-1st Degree: By Forcible Compulsion
PL 130.50 Sub 01 Class C Felony Degree 1 NCIC 1199

"No Arrest Reported" will appear in place of the arrest information when the arresting agency did not submit the arrest.

If special circumstances apply to this arrest, there will be an additional literal beneath the Cycle Number, preceding the arrest date. The following literal(s) may print:

- **Cycle may not be supported by fingerprints** - This arrest does not have fingerprints on file to support the data.

- **Violent Felony Offense** - This cycle contains a charge which is classified as a violent felony. The charge may be an arrest, arraignment, disposition or institution admission charge.

- **Domestic Incident Report Filed** - There was a Domestic Incident Report filed at the time of the arrest. This is not an Order of Protection.

- **Youthful Offender** - This cycle contains a Youthful Offender Adjudication finding by the court.

- **Juvenile Offender** - The charges at the time of arrest are considered Juvenile Offender charges. See the DCJS Charge Code Manual available on the DCJS public web site (http://www.criminaljustice.state.ny.us) under the Technology Resources link for a description of what qualifies as a Juvenile Offender charge.

- **Juvenile Delinquent** - The charges at the time of arrest are considered Juvenile Delinquent charges. See the DCJS Charge Code Manual for a description of what qualifies as a Juvenile Delinquent charge.

Arrest Charges are those charges reported by the arresting agency. Charges which are arraigned and disposed by the court are reported under "Court Information". The items listed under the heading of Arrest Charges are explained below:

Attempted Criminal Sexual Act -1st Degree: By Forcible Compulsion - a description of the key components of the charge as derived from the statutory language.

PL 130.50 - Penal Law Title followed by law section. A list of law titles and abbreviations can be found in the *New York Statewide Criminal Justice Data Dictionary* (tenth edition, June 2001). For a complete list of law codes, refer to the DCJS Charge Code Manual. Both documents are available on the DCJS public web site (http://www.criminaljustice.state.ny.us) under the Technology Resources link.

Sub 01 - Subsection of the law that has been violated. If there is no subsection, this section will be blank.

Counts - Number of counts charged for this offense. If there is only one count as is true for this arrest charge, "Counts" will not appear.

Class C - Classification of the charge involved. For felonies, "A" is the most

serious on a scale of A to E. Misdemeanors are listed as "A", "B", or "U" for unclassified.

Felony - Severity of the charge. e.g. Felony, Misdemeanor, Infraction or Violation

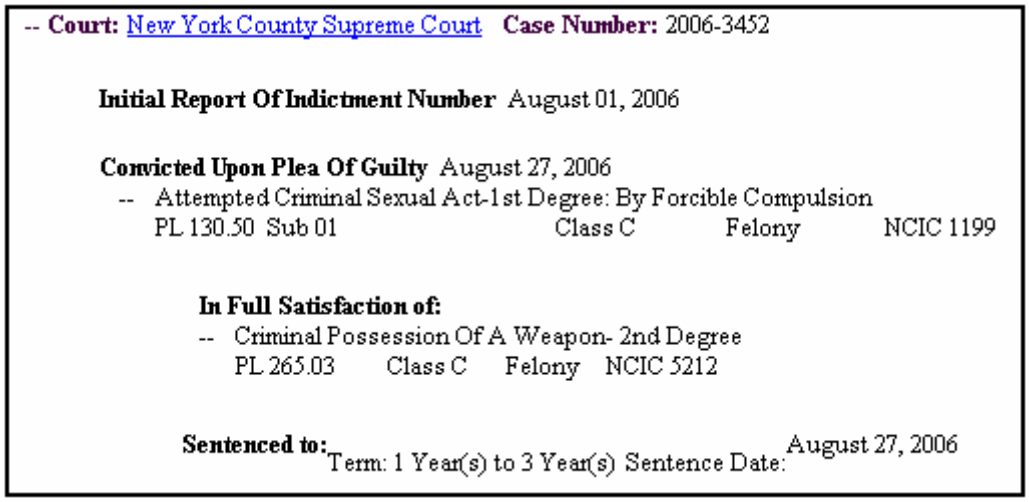
Degree 1 - The degree, if applicable

NCIC 1199 - National Crime Information Center coding of charge used for conformity among all states for similar offenses. Refer to the DCJS Charge Code Manual for the code assigned to specific charges.

Court Information

Court Information **(Drawing 7)** appears directly underneath the Arrest/Charge Information for the related arrest. Courts report dispositions electronically to DCJS via the New York State Office of Court Administration. If a disposition has not been reported to DCJS, "**No Disposition Reported**" will appear in lieu of Court Information.

Drawing 7


-- Court: New York County Supreme Court Case Number: 2006-3452
Initial Report Of Indictment Number August 01, 2006
Convicted Upon Plea Of Guilty August 27, 2006
-- Attempted Criminal Sexual Act-1st Degree: By Forcible Compulsion
PL 130.50 Sub 01 Class C Felony NCIC 1199
In Full Satisfaction of:
-- Criminal Possession Of A Weapon- 2nd Degree
PL 265.03 Class C Felony NCIC 5212
Sentenced to: Term: 1 Year(s) to 3 Year(s) Sentence Date: August 27, 2006

Court is the name of the court where the case was heard.

Case Number is a generic term used for identifying a docket number in local courts and an indictment number or Superior Court Information Number in superior courts.

Disposition is the action taken by the court and the date of that action. Contact the DCJS Customer Contact Center at 1-(800) 262-3257 for detailed information about specific dispositions. Dispositions for Buffalo city, district courts and New York City criminal courts are updated at every phase of the court process. For example, if the defendant enters a plea of guilty, the rapsheet will show the disposition "Convicted upon plea of guilty". The sentence, however, may not be updated until a later date when a sentence is imposed by the court. As the case progresses and data are reported to DCJS, the rapsheet gives the user a more

complete picture of an individual's criminal history. **Rapsheet users need to be aware of the ever-changing nature of disposition data.**

Dispositions for other courts are reported in a similar manner though the plea or conviction is not updated until there is a sentence. Occasionally, one case, involving multiple charges, may disposed of in connection with another case. In this scenario, such a disposition would follow the term "Covered by".

Disposition Charges: Listed in the Court Information above are Arraignment and Disposition Charges in contrast to the Arrest charges shown earlier in the rapsheet. The charges are organized according to the same format, but refer to charges which are prosecuted. Charges dismissed as a result of a plea agreement may be listed here following "In full satisfaction of", and charges reduced from another charge may be listed here followed by "Reduced from."

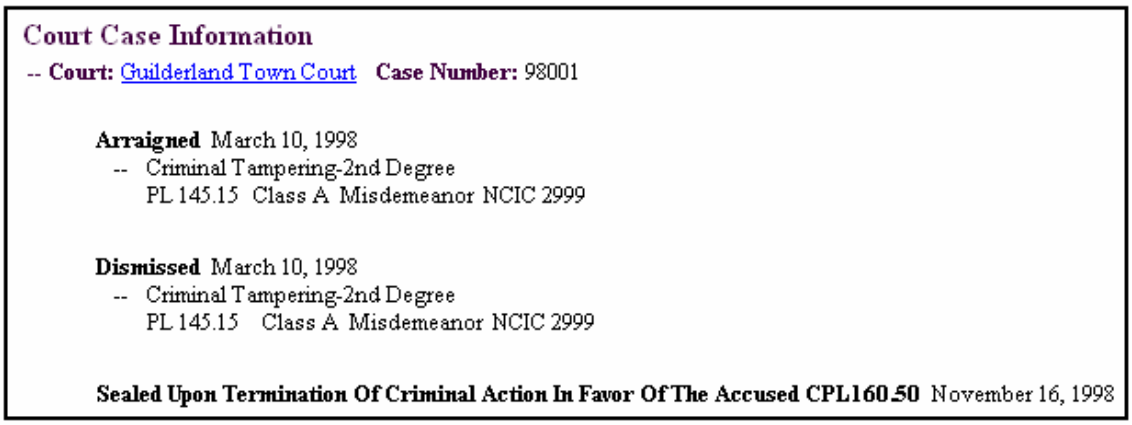
Sentencing: Sentencing and date sentenced for findings of guilty will be displayed at the end of the conviction after listing all appropriate reductions and plea-satisfied charges as appropriate. Contact the DCJS Customer Contact Center at 1-800-262-3257 for detailed information on these topics

Sealed Arrests/Disposition Cycles

Drawing 8 is an example of an arrest and disposition that resulted in an outcome favorable to the defendant. In most cases favorable outcomes are sealed. These sealed arrests and dispositions would not be included in the majority of rapsheets disseminated to agencies. This example is included for the few agencies that have access to sealed records.

Cycle Not Supported by fingerprints - In all cases, except for marijuana charges adjourned in contemplation of dismissal pursuant to Criminal Procedure Law Section 170.56, the fingerprint card supporting the arrest is destroyed. An example of this type of seal is "Sealed in Termination of a Criminal Action in Favor of the Accused CPL 160.50". This is displayed at the end of the court case that is sealed *(Drawing 8)*. If there are multiple court cases for a cycle, all cases must result in a seal in order for the entire cycle to be sealed and the fingerprints destroyed.

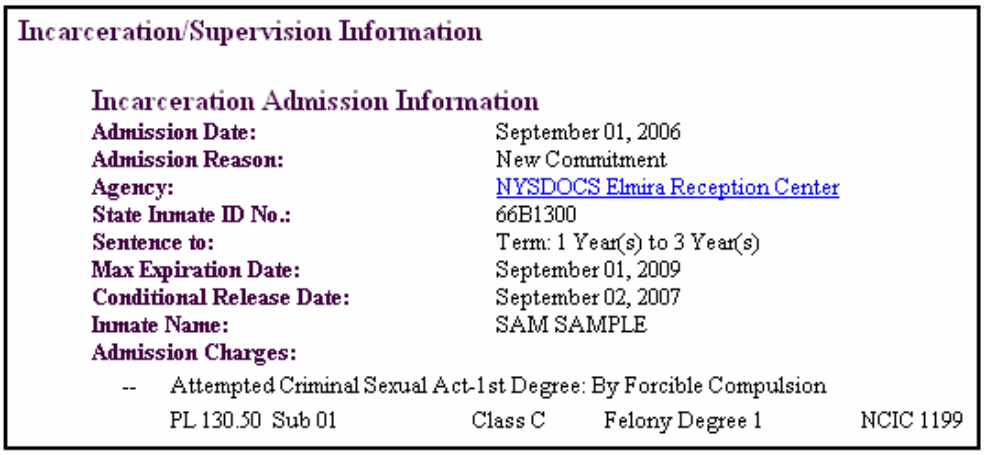
Drawing 8


Court Case Information
-- Court: Guilderland Town Court Case Number: 98001
Arraigned March 10, 1998
-- Criminal Tampering-2nd Degree
PL 145.15 Class A Misdemeanor NCIC 2999
Dismissed March 10, 1998
-- Criminal Tampering-2nd Degree
PL 145.15 Class A Misdemeanor NCIC 2999
Sealed Upon Termination Of Criminal Action In Favor Of The Accused CPL160.50 November 16, 1998

Incarceration Information

Local jails and the New York State Department of Correctional Services (DOCS) report incarceration admissions to DCJS when a sentenced person is first admitted to the facility **(Drawing 9)**. DOCS also reports to DCJS when the inmate is released from the facility, and as appropriate, when the inmate is returned to the facility upon a parole violation**.**

Drawing 9


Incarceration/Supervision Information
Incarceration Admission Information
Admission Date: September 01, 2006
Admission Reason: New Commitment
Agency: NYSDOCS Elmira Reception Center
State Inmate ID No.: 66B1300
Sentence to: Term: 1 Year(s) to 3 Year(s)
Max Expiration Date: September 01, 2009
Conditional Release Date: September 02, 2007
Inmate Name: SAM SAMPLE
Admission Charges:
-- Attempted Criminal Sexual Act-1st Degree: By Forcible Compulsion
PL 130.50 Sub 01 Class C Felony Degree 1 NCIC 1199

Admission Date is the date that the prisoner is admitted to the incarceration facility.

Admission Reason is the reason for admission. See the *New York Statewide Criminal Justice Data Dictionary* (tenth edition, June 2001) at the DCJS public web site (http://www.criminaljustice.state.ny.us/dict/dict.htm) for code tables on reasons for admission to a State or local correctional facility.

Agency is the department reporting the initial admission information. DOCS does not report when an inmate is transferred to another facility

State Inmate ID No. is the inmate number assigned by DOCS or the local facility. It is often referred to as the "DIN" Number. The first two digits are the

year initially incarcerated. The 3rd digit is an abbreviation for the facility to which the inmate was admitted. The remaining digits are sequentially assigned to inmates for that year.

Sentence to refers to the term of incarceration specified by the court at time of sentence. Contact the DCJS Customer Contact Center at 1-800-262-3257 for explanations about sentence lengths.

Max Expiration Date is the last date on which the inmate will complete the full term of his or her sentence.

Conditional Release Date is the earliest calculated date on which an individual must be released from incarceration. This is two-thirds the maximum sentence for indeterminate sentences (sixth-seventhsfor determinate sentences) adjusted by jail time and any loss of good time.

Release Date is the date when the inmate is released from incarceration.

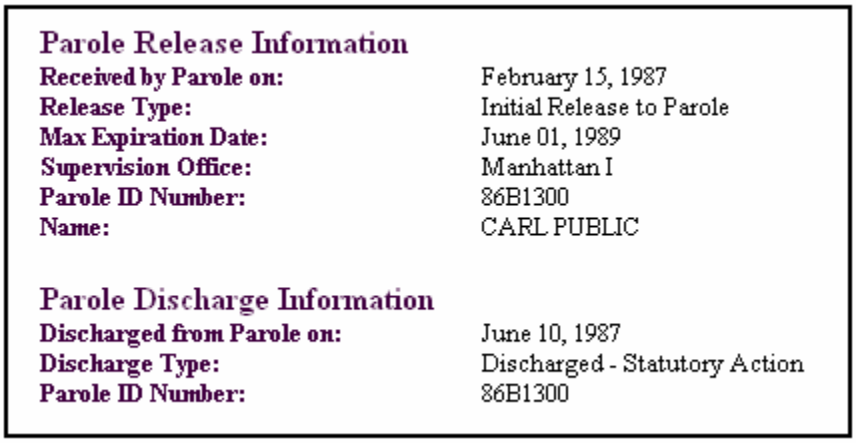
Release Reason is the reason for release from an incarceration facility. See the *New York Statewide Criminal Justice Data Dictionary* (tenth edition, June 2001) at the DCJS public web site (http://www.criminaljustice.state.ny.us/dict/dict.htm) for a code table on release reasons.

Parole Release Information

The New York State Division of Parole (DOP) reports data on-line to DCJS at various stages of the supervision process including when an individual is released from prison and begins parole supervision*; when the parolee completes his or her term and is discharged; or when a parolee is revoked for some reason (e.g., commission of another offense).

*Effective October 1995, an individual may also be sentenced directly to parole supervision by the court (judicially sanctioned), without first being incarcerated. The segment appears on the rapsheet just like other releases to parole **(Drawing 10),** except that the area of assignment will be **Willard.** (If a disposition is present in the event, the sentence area should read "Parole Supervision Sentence."

Drawing 10



Parole Release Information

Received by Parole on:	February 15, 1987
Release Type:	Initial Release to Parole
Max Expiration Date:	June 01, 1989
Supervision Office:	Manhattan I
Parole ID Number:	86B1300
Name:	CARL PUBLIC

Parole Discharge Information

Discharged from Parole on:	June 10, 1987
Discharge Type:	Discharged - Statutory Action
Parole ID Number:	86B1300

Received by Parole is the date the inmate was released from prison and started supervision under the Division of Parole.

Release Type is the reason for release to Parole. See the *New York Statewide Criminal Justice Data Dictionary* (tenth edition, June 2001) at the DCJS public web site (http://www.criminaljustice.state.ny.us/dict/dict.htm) for a code table about release types.

Max Expiration Date is the expiration date when the parolee will complete his or her term.

Supervision Office is the area to which the parolee is assigned by the Division of Parole.

Parole ID Number is the same number as the Inmate ID Number.

Discharge from Parole on is the date parolee is no longer under parole supervision.

Discharge Type is the reason parolee is no longer under parole supervision. See the *New York Statewide Criminal Justice Data Dictionary* (tenth edition, June 2001) at the DCJS public web site (http://www.criminaljustice.state.ny.us/dict/dict.htm) for a code table about discharge types.

Note: When an offender is on parole, the "active" term generally appears under the most recent arrest cycle for which he was placed under supervision. As of April 2007, that could change for some cases. A section of the Drug Law Reform Act which took effect on February 12, 2005 provides for an offender under supervision for a drug offense to be eligible for mandatory termination of parole supervision after serving 3 years of unrevoked supervision for a class A felony drug offense and after serving 2 years of unrevoked supervision for any other felony drug offense. This will be fairly straightforward for offenders who are serving a term of parole only for a drug offense. However, it is more complicated for offenders who are serving concurrent terms (aggregate sentences) for a drug offense and a non-drug offense. If the drug arrest

occurred after the offender's non-drug arrest, it could be possible for the rapsheet to show a discharge from parole on the later arrest cycle but an "open" term of parole supervision on the earlier arrest. The fact that the most recent arrest cycle will not be the one for which the offender is under active supervision is somewhat counterintuitive. To help clarify the situation, DCJS will change the wording of the "on parole" banner on the rapsheet to show the specific cycle for which the offender is under supervision.

Probation Information

Probation information is reported on-line to DCJS through either the Integrated Probation Registrant System (IPRS) or through batch files submitted by probation departments as shown in **Drawing 11** below:

Drawing 11

Probation Information

Name:	JOHNNIE DILLENGER
Address:	44 BEAVER ST, NEW YORK, NY 10004
Sex:	Male
Race:	White
Ethnicity:	Not Hispanic
Placed on Probation:	July 02, 2006
Max Expiration Date:	July 02, 2009
Supervision Agency:	Broome County Probation
Jurisdiction Agency	Kings County Probation Adult Supervision- Reporting
Probation Registration Number:	3057004
Probation Discharge Date:	August 27, 2006
Discharge Type:	Revoked - Technical Violation

Placed on Probation is the date sentenced person comes under probation supervision.

Maximum Expiration Date is the date the probationer will reach his or her maximum expiration date of sentence (i.e., the length of sentence imposed by the court will be completed).

Supervision Agency is the probation agency to which the probationer reports.

Jurisdiction Agency is the probation agency that has legal responsibility for the probationer. In some instances, a probationer may be supervised by another county because of his/her residence or other reasons but jurisdiction was retained by the judge in the county where the individual was sentenced.

Probation Officer ID identifies the officer to whom the probationer reports.

Probation Registration Number is the event specific number used to identify a supervision case. If a probationer has multiple probation sentences, there will a unique number for each one.

Probation Case Number is the number identifying the individual who came in as an out-of-state cooperative case.

Probation Discharge Date is the date when the probationer is no longer under probation supervision.

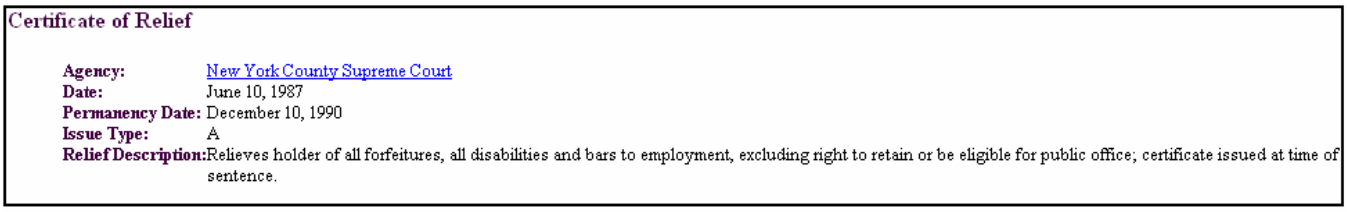
Discharge Type is the reason probationer is no longer under supervision. See the *New York Statewide Criminal Justice Data Dictionary* (tenth edition, June 2001) at the DCJS public web site (http://www.criminaljustice.state.ny.us/dict/dict.htm) for a code table about discharge types.

Certificate of Relief from Civil Disabilities

A Certificate of Relief from Disabilities (New York State Correction Law, Sections 701-703) may be issued by the court at the time of sentencing, or by the parole board at any time thereafter, to an offender who has been convicted of any number of lesser offenses and up to one felony. The purpose of the Certificate of Relief is to relieve the offender of any forfeiture or disability, such as to remove any bar to his employment, which was automatically imposed by reason of his conviction for a single arrest event. Exceptions, which include the right to be eligible for public office, are explained in the aforementioned Correction Law.

The Certificate of Relief, **(Drawing 12)** however, does not restrict any potential employer from lawfully refusing employment to the holder, nor does it prevent a licensing agency from refusing to grant or renew a license, permit, or privilege for some legitimate reason other than the conviction for which the certificate was granted. Granting a Certificate does not remove the underlying conviction from the offender's criminal record and does not result in sealing of any kind.

Drawing 12



Certificate of Relief

Agency: New York County Supreme Court
Date: June 10, 1987
Permanency Date: December 10, 1990
Issue Type: A
Relief Description: Relieves holder of all forfeitures, all disabilities and bars to employment, excluding right to retain or be eligible for public office; certificate issued at time of sentence.

The first **Date** listed is the date issued. The certificate can be modified or revoked at any time between the issuance date and the **Permanency Date**. After the **Permanency Date**, the certificate can no longer be altered or revoked.

There are three (3) types of Certificates of Relief: as delineated below:

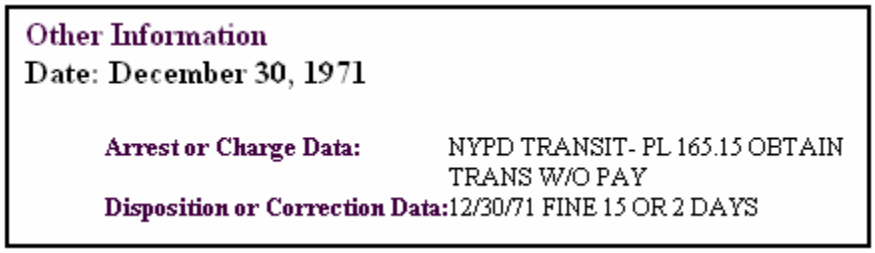
- "Type A" – Relieves the holder of all automatic (non-discretionary) forfeitures, all disabilities and bars to employment. This type of Certificate is issued at time of sentence.
- "Type B" – Relieves holder of all disabilities and bars to employment.
- "Type C" – All Other: Relieves holder of specifically mentioned disabilities, bars or forfeitures.

Other Information

This section **(Drawing 13)** contains New York State arrest, disposition, incarceration and supervision information that was recorded prior to February 1, 1972. Most of these arrest events are supported by fingerprints, but in the cases where there are no fingerprints for the event, an asterisk (*) appears before the activity date. These historic events do not show as much detailed information as the events appearing in the Criminal History Information section of the rapsheet.

This information is **not** included in the "Summary Information" section of the rapsheet.

Drawing 13


Other Information
Date: December 30, 1971

Arrest or Charge Data: NYPD TRANSIT- PL 165.15 OBTAIN TRANS W/O PAY
Disposition or Correction Data: 12/30/71 FINE 15 OR 2 DAYS

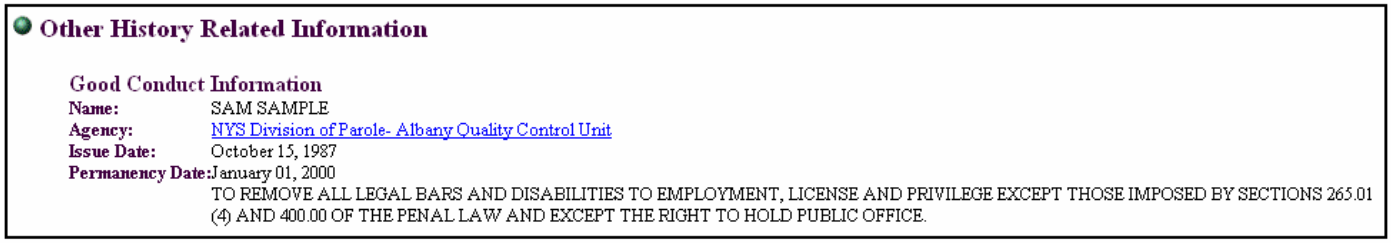
Other History Related Information

Other History Related information refers to information on the individual that does not pertain to a specific cycle. Data under this heading may include, but is not limited to, Certificate of Good Conduct information.

A Certificate of Good Conduct **(Drawing 14)** may be issued by the State Board of Parole to relieve an individual of any disability or bar to employment (New York State Correction Law, Section 703-b). It may be limited to one or more specified disabilities or bars, or may relieve the individual of all disabilities and bars. The individual must have demonstrated a minimum period of good conduct in the community which shall be one year for a misdemeanor, three years for a class C, D or E felony, and five years for a class A or B felony.

Granting of a certificate of good conduct does not remove the underlying conviction, nor does it prevent a prospective employer or licensing agency from exercising lawful discretion to refuse employment, or to refuse a license.

Drawing 14


Other History Related Information

Good Conduct Information
Name: SAM SAMPLE
Agency: NYS Division of Parole- Albany Quality Control Unit
Issue Date: October 15, 1987
Permanency Date: January 01, 2000
TO REMOVE ALL LEGAL BARS AND DISABILITIES TO EMPLOYMENT, LICENSE AND PRIVILEGE EXCEPT THOSE IMPOSED BY SECTIONS 265.01 (4) AND 400.00 OF THE PENAL LAW AND EXCEPT THE RIGHT TO HOLD PUBLIC OFFICE.

The **Issue Date** is the date on which the parole board issued the certificate. The certificate can be modified or revoked at any time between the **Issue Date** and the **Permanency Date**. After the **Permanency Date**, the certificate can no longer be altered or revoked.

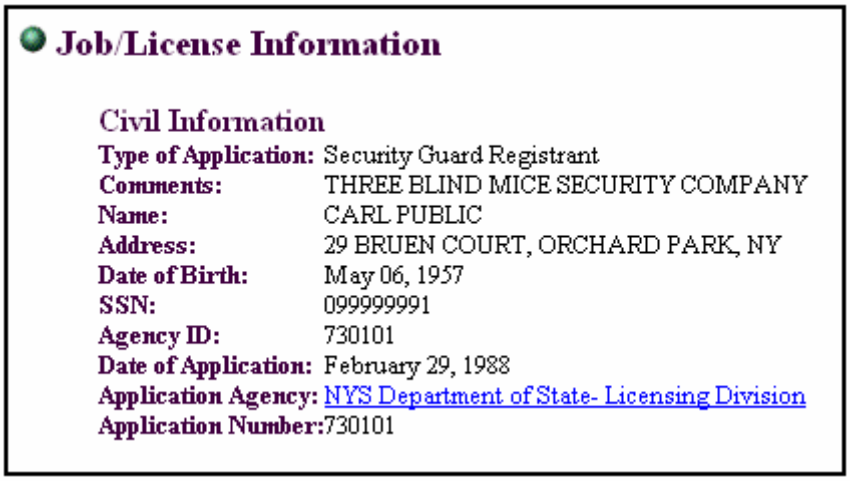
Job/License Information

Civil Information

This section of the rapsheet **(Drawing 15)** includes information about the individual that is not related to criminal activity. Non-criminal information listed includes that related to job or license applications submitted to DCJS.

The appearance of job or license application on the rapsheet does **not** indicate that the individual was hired, or that the license was granted. In the case of a pistol permit, however, the rapsheet will include the date the permit was granted if that information is available.

Drawing 15


Job/License Information
Civil Information
Type of Application: Security Guard Registrant
Comments: THREE BLIND MICE SECURITY COMPANY
Name: CARL PUBLIC
Address: 29 BRUEN COURT, ORCHARD PARK, NY
Date of Birth: May 06, 1957
SSN: 099999991
Agency ID: 730101
Date of Application: February 29, 1988
Application Agency: NYS Department of State- Licensing Division
Application Number:730101

Wanted Information

DCJS automatically launches a Wanted Search for a fingerprint transaction. If a Criminal History is located, Wanted records containing the New York State Identification Number (NYSID) will be returned **(Drawing 16)**. More than 80 percent of wanted records typically contain a NYSID Number. In addition to NYSID Matching, two additional Wanted queries are made; an inquiry using the most frequently reported Social Security Number, and a search using a combination of the most frequently reported Name, Sex, Race and DOB contained in the Criminal History. Any matching 'suspects' which result will be appended to the rapsheet.

Since these are name-based suspects or matched made based in information reported, due caution should be exercised to verify a true match on identity. Since wanted information is not based on a fingerprint identification, any follow up to determine identity must be done by contacting the wanting agency directly. The area preceding the 'Date of Warrant' line toward the end of the notice lists all the data and identifying numbers which are similar or matched exactly to data from the rapsheet or submission. The likelihood that the wanted person is the individual on the rapsheet is greater the more similarities that are found.

Drawing 16

Missing Person Information

The results returned from a Missing Person search is identical in format to those returned for Wanted information. Note that less than three percent of Missing records have a NYSID.

If no information is returned, the rapsheet will contain the following message **(Drawing 17)**:

Drawing 17

Federal and Out-of-State Information

III Criminal History

New York State, in conjunction with other states, participates in the Interstate Identification Index (III). III is designed to deliver out-of-state criminal history information, in most cases on-line, from the state of record. **(Drawing 18)**

DCJS automatically provides out-of-state information as part of the response to criminal fingerprint transactions when an input criminal fingerprint is identified to an individual who is flagged as MULTI-STATE on the DCJS file. **Note:** Responses to civil fingerprints will only include III data if a FBI applicant fingerprint card is authorized for submission to the FBI and the III participating state permits the release of criminal history information through III in connection with employment/licensing purposes; otherwise, the record maintained by the FBI will be returned in response to the civil FBI fingerprint submission.

When DCJS provides III data, the out-of-state records will print as separate rapsheets at the end of the New York State rapsheet unless there is a delay in obtaining the information. If the out-of-state information is not available within a certain time frame after the request is sent to the state via III, the DCJS response will be sent without it and the III responses will be forwarded later and put in the eJusticeNY Agency or Civil In-Box **(fingerprint response rapsheet)** or the individual's Personal In-Box **(non-fingerprint based response rapsheet)**. However, III information is provided as part of the initial rapsheet in the vast majority of cases. If delayed, the III section of the original response will state that the "outstanding response(s) will be forwarded to an agency in-box upon receipt by DCJS."

NCIC Search

NCIC is the National Crime Information Center run by the FBI. NCIC maintains numerous files with case data that support criminal justice operations nationwide. DCJS provides access to the NCIC Person files which provide information on individuals.

Outlined below is a complete list and description of each of the NCIC Person Files.

Convicted Person on Supervised Release File: Local, state, and federal supervision officers may enter records into this file for subjects who are put under specific restrictions during their probation, parole, or supervised release sentence following imprisonment.

Convicted Sexual Offender Registry File: File records include persons who have been convicted of a criminal offense against a minor, a sexually violent offense, a sexually violent predator or records approved by the Attorney General based on relevant law by the entering state.

Deported Felon File: The Deported Felon File contains records on criminal aliens who have been convicted of felonies and subsequently deported for drug trafficking, firearms trafficking, or serious violent crimes. These criminal aliens who have been deported and reenter the United States without permission are in violation of Title 8, USC, Section 1326. The Immigration and Customs Enforcement (ICE) is the only agency authorized to enter Deported Felon records.

Foreign Fugitive File: The Foreign Fugitive File contains information on persons wanted in connection with offenses committed outside the United States. There are two types of records in the Foreign Fugitive File, Canadian records and International Criminal Police Organization (INTERPOL) records. Canadian records contain information on persons wanted for violations of the Criminal Code of Canada based upon Canada-wide warrants. INTERPOL records contain information on persons wanted by authorities in other countries.

Missing Person File: A missing person record may be entered due to any of the following categories:

- **Disability:** a person of any age who is missing and under proven physical/mental disability or is senile, thereby subjecting him/herself or others to personal and immediate danger.
- **Endangered:** a person of any age who is missing under circumstances indicating that his/her physical safety may be in danger.
- **Involuntary:** a person of any age who is missing under circumstances indicating that the disappearance may not have been voluntary, (i.e., abduction or kidnapping).
- **Juvenile:** a person under the age of 18 who is missing and does not meet any of the entry criteria set forth for Disability, Endangered, Involuntary or Catastrophe Victim.
- **Catastrophe Victim:** a person of any age who is missing after a catastrophe. Catastrophe victim records may be entered by any agency involved in identifying victims of a disaster, e.g., an airplane crash. No written documentation is required for entry into this category.
- **Other:** a person over the age of 18 not meeting the criteria for entry in any other category who is missing and for whom there is a reasonable concern for his/her safety.

Protection Order File: The Protection Order File contains court orders that are issued to prevent acts of domestic violence against a person or to prevent a person from stalking, intimidating, or harassing another person. Orders are issued by both civil and criminal state courts. The types of protection orders issued and the information contained in them vary from state to state

U.S. Secret Service Protective File: The U.S. Secret Service Protective File has been designed to aid the U.S. Secret Service (USSS) in its efforts to protect the President and other authorized protectees by providing the whereabouts of those individuals who may pose a threat to a protectee and by advising the USSS of an individual's criminal activity that may be related to one of the protectees. This information will also assist law enforcement personnel by advising officers of the fact that the person in question may pose a threat to a USSS protectee.

Violent Gang and Terrorist Organization File: The NCIC 2000 Violent Gang and Terrorist Organization File (VGTOF) has been designed to provide identifying information about violent criminal gangs and terrorist organizations and members of those gangs and organizations to law enforcement personnel. This information serves to warn law enforcement officers of the potential danger posed by violent individuals and to promote the exchange of information about these organizations and members to facilitate criminal investigations. Because VGTOF information is based, in part, on investigative information not previously subject to independent judicial review, strict adherence to policy on the security, use, and dissemination of VGTOF information is necessary. VGTOF information is exclusively for the use of criminal justice agencies

for criminal justice purposes. In no case should VGTOF information be disseminated to any non-criminal justice agency.

Wanted Person File: An entry in the Wanted Person File should be made immediately after the decision to arrest or authorize arrest has been made, and the decision has been made regarding extradition. Only the agency that holds the warrant may make an NCIC 2000 wanted person entry. The only exception is that any criminal justice agency or regional dispatch center may act as holder of the record for another agency that has no telecommunications equipment. When such an entry is made, the agency holding the record may place its own Originating Agency Identifier but only when there is a written agreement between the two agencies that delineates the legal responsibility of each for the record.

DCJS makes requests directly to the FBI when performing NCIC Person searches and inquiries. Resulting responses are returned directly from the FBI to DCJS

For cases where a New York State History is not found or not checked, NCIC Search behavior is identical to that for III Raps. In cases where a New York State history is found, three separate queries are launched; search by FBI Number, most frequently reported Social Security Number (SSN) and the combination of the most frequently reported Name, Sex, Race and DOB.

Federal and out-of-state information, if provided, will appear at the end of the New York State criminal history.

If other states have history on the individual, you will receive a message listing the states which will be responding to you. Any Federal or out-of-state information which is not available at the time of the DCJS response will be sent to your Message Services In Box as an NCIC-III Late Response. Because late responses will be sent as they are received by DCJS, you may receive multiple late responses for one inquiry.

For more information regarding III and NCIC, please refer to the Help menus in the *eJusticeNY* Criminal Justice Repository Suites.